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Attorney Docket P3430R1C1

PATENT

JC829 U.S. PTO
10/052586

01/15/02

EL 889 346 594 US: Express Mail Number

January 15, 2002 : Date of Deposit

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION
Assistant Commissioner of Patents
Washington, D.C. 20231

NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

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Paul J. Godowski, Hillsborough, CA
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James Pan, Belmont, CA
Victoria Smith, Burlingame, CA
Colin K. Watanabe, Moraga, CA
William I. Wood, Hillsborough, CA
Zemin Zhang, Foster City, CA

Title: **SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND
NUCLEIC ACIDS ENCODING THE SAME**

1. Type of Application

☐ This application is for an original, non-provisional application.

☐ This is a non-provisional application claiming priority to provisional application no. __, filed __, the entire disclosure of which is hereby incorporated by reference.

☒ This is a ☐ continuation-in-part ☒ continuation ☐ divisional application claiming priority to application Serial Numbers: 60/059263 Filed 9/18/97; 60/059266 Filed 9/18/97; 60/062250 Filed 10/17/97; 60/063120 Filed 10/24/97; 60/063121 Filed 10/24/97; 60/063486 Filed 10/21/97; 60/063540 Filed 10/28/97; 60/063541 Filed 10/28/97; 60/063544 Filed 10/28/97; 60/063564 Filed 10/28/97; 60/063734 Filed 10/29/97; 60/063870 Filed 10/31/97; 60/064103 Filed 10/31/97; 60/065311 Filed 11/13/97; 60/066120 Filed 11/21/97; 60/066466 Filed 11/24/97; 60/066772 Filed 11/24/97; 60/068017 Filed 12/18/97; 60/069335 Filed 12/11/97; 60/069425 Filed 12/12/97; 60/069870 Filed 12/17/97; 60/077450 Filed 3/10/98; 60/077632 Filed 3/11/98; 60/077649 Filed 3/11/98; 60/078886 Filed 3/20/98; 60/078939 Filed 3/20/98; 60/079664 Filed 3/27/98; 60/079786 Filed 3/27/98; 60/080107 Filed

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2025 RELEASE UNDER E.O. 14176

3/28/00; 60/193032 Filed 3/29/00; 60/193053 Filed 3/29/00; 60/194449 Filed 4/4/00; 60/194647 Filed 4/4/00; 60/195975 Filed 4/11/00; 60/196000 Filed 4/11/00; 60/196187 Filed 4/11/00; 60/196690 Filed 4/11/00; 60/196820 Filed 4/11/00; 60/198121 Filed 4/18/00; 60/198585 Filed 4/18/00; 60/199397 Filed 4/25/00; 60/199550 Filed 4/25/00; 60/199654 Filed 4/25/00; 60/201516 Filed 5/3/00; 60/204675 Filed 5/17/00; 09/105413 Filed 6/26/98; 09/168978 Filed 10/7/98; 09/187368 Filed 11/6/98; 09/202054 Filed 12/7/98; 09/254311 Filed 3/3/99; 09/311832 Filed 5/14/99; 09/380137 Filed 8/25/99; 09/380138 Filed 8/25/99; 09/380139 Filed 8/25/99; 09/380142 Filed 8/25/99; 09/403297 Filed 10/18/99; 09/423844 Filed 11/12/99; 09/644848 Filed 8/22/00; 09/664610 Filed 9/18/00; 09/665350 Filed 9/18/00; 09/709238 Filed 11/8/00; 09/747259 Filed 12/20/00; 09/816744 Filed 3/22/01; 09/854208 Filed 5/10/01; 09/854280 Filed 5/10/01; 09/866028 Filed 5/25/01; 09/874503 Filed 6/5/01; 09/908827 Filed 7/18/01; 09/918585 Filed 7/30/01; 09/924419 Filed 8/6/01; 09/929404 Filed 8/13/01; 09/931836 Filed 8/16/01; 09/941992 Filed 8/28/01; 09/946374 Filed 9/4/01; PCT/US98/19330 Filed 9/16/98; PCT/US98/21141 Filed 10/7/98; PCT/US98/25108 Filed 12/1/98; PCT/US99/05028 Filed 3/8/99; PCT/US99/10733 Filed 5/14/99; PCT/US99/12252 Filed 6/2/99; PCT/US99/20111 Filed 9/1/99; PCT/US99/21090 Filed 9/15/99; PCT/US99/28301 Filed 12/1/99; PCT/US99/28551 Filed 12/2/99; PCT/US99/31274 Filed 12/30/99; PCT/US00/00219 Filed 1/5/00; PCT/US00/04341 Filed 2/18/00; PCT/US00/04342 Filed 2/18/00; PCT/US00/04414 Filed 2/22/00; PCT/US00/05004 Filed 2/24/00; PCT/US00/05601 Filed 3/1/00; PCT/US00/05841 Filed 3/2/00; PCT/US00/06884 Filed 3/15/00; PCT/US00/08439 Filed 3/30/00; PCT/US00/13705 Filed 5/17/00; PCT/US00/14042 Filed 5/22/00; PCT/US00/14941 Filed 5/30/00; PCT/US00/15264 Filed 6/2/00; PCT/US00/20710 Filed 7/28/00; PCT/US00/23328 Filed 8/24/00; PCT/US00/30952 Filed 11/8/00; PCT/US00/32678 Filed 12/1/00; PCT/US00/34956 Filed 12/20/00; PCT/US01/06520 Filed 2/28/01; PCT/US01/17800 Filed 6/1/01; PCT/US01/19692 Filed 6/20/01; PCT/US01/21066 Filed 6/29/01; PCT/US01/21735 Filed 7/9/01; PCT/US01/27099 Filed 8/29/01, the entire disclosures of which are hereby incorporated by reference.

2. **Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Non-provisional)**

147 pages of specification
24 pages of claims
1 page(s) of abstract
615 sheet(s) of drawings
☒ formal ☐ informal

3. **Declaration or Oath**

(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)
X An executed declaration of the inventor(s) [X] is enclosed ☐ will follow.

— (for Cont./Div. where inventorship is the same or inventor(s) being deleted)
A copy of the executed declaration/oath filed in the prior application is enclosed (37 CFR 1.63(d)).

— (for Cont./Div. where inventor(s) being deleted)
A signed statement is attached deleting inventor(s) named in the prior application (see 37 CFR 1.63(d)(2) and 1.33(b)).

4. Assignment

— (for new and CIP applications)
X An Assignment of the invention to GENENTECH, INC. [X] is enclosed with attached Recordation Form Cover Sheet [] will follow.

— (for cont./div.)
The prior application is assigned of record to Genentech, Inc.

5. Amendments (for continuation and divisional applications)

— Cancel in this application original claims _ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

X A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

6. Fee Calculation (37 CFR 1.16)

The fee has been calculated as follows:

CLAIMS FOR FEE CALCULATION					
Number Filed		Number Extra		Rate	Basic Fee 37 CFR 1.16(a)
					\$740.00
Total Claims	24	- 20 =	4	X \$18.00	\$72.00
Independent Claims	17	- 3 =	14	X \$80.00	\$1,120.00
— Multiple dependent claim(s), if any				+ \$270.00	\$0.00
Filing Fee Calculation					\$1,932.00

7. Method of Payment of Fees

The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$1,932.00. **A duplicate copy of this transmittal is enclosed.**

100-333660-1

8. **Authorization to Charge Additional Fees**

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. **A duplicate copy of this sheet is enclosed.**

9. **Additional Papers Enclosed**

- ☐ Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations
- ☒ Submission of "Sequence Listing", computer readable copy, certificate re: sequence listing, and/or amendment pertaining thereto for biological invention containing nucleotide and/or amino acid sequence.
- ☐ A new Power of Attorney or authorization of agent.
- ☒ Other: Postcard.

10. **Maintenance of Copendency of Prior Application (for continuation and divisional applications)**

*[This item **must** be completed and the necessary papers filed in the prior application if the period set in the prior application has run]*

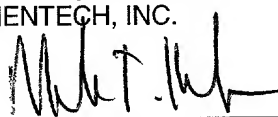
- _____ A petition, fee and/or response has been filed to extend the term in the pending prior application until
- _____ A copy of the petition for extension of time in the **prior** application is attached.

11. **Correspondence Address:**

X Address all future communications to:

Attn: Ginger R. Dreger
 CUSTOMER NO: 30,313 / Registration No: 33,055
 201 California Street, Suite 1150
 San Francisco, CA 94111-3335
 Phone: 415-954-4114
 E Mail: gdreger@kmob.com

Respectfully submitted,
 GENENTECH, INC.

By: 

Date: January 15, 2002

Mark T. Kresnak, Ph.D.
 Reg. No. 42,767
 Telephone No. (650) 225-4461



09157

PATENT TRADEMARK OFFICE

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

<p>In re Application of Kevin P. Baker, et al. Serial No.: Unknown (filed herewith) Filed: January 15, 2002 (herewith) For: <i>Secreted and Transmembrane Polypeptides and Nucleic Acids Encoding the Same</i></p>	<p>Group Art Unit: Not yet assigned Examiner: Not yet assigned Express Mail Label No. EL 889 346 594 US Mailed on January 15, 2002</p>
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CERTIFICATE RE: SEQUENCE LISTING

RESPONSE UNDER 37 CFR § 1.821(f) and (g)

Box: Patent Application
Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

I hereby state that the Sequence Listing submitted herewith is submitted in paper copy and a computer-readable diskette, and that the information recorded in computer readable form is identical to the written sequence listing. I further state that this submission includes no new matter.

Respectfully submitted,

GENENTECH, INC.

By: 

Mark T. Kresnak, Ph.D.

Reg. No. 42,767

Telephone No. (650) 225-4461

Date: January 15, 2002



09157

PATENT TRADEMARK OFFICE